

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

202689US2XSRD

First Inventor or Application Identifier

Hiroshi SHIRAKAWA, et al.

Title

AUCTION SYSTEM AND METHOD

Assignee Name

Assignee Address:

U.S. PTO  
09/773913

02/02/01

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patent  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

☒ Specification Total Sheets **42**

☒ Drawing(s) (35 U.S.C. 113) Total Sheets **15**  
(Formals)

☐ Oath or Declaration Total Pages **1**

- a. ☐ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 C.F.R. §1.63(d))  
(for continuation / divisional w/ box 16 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in  
the prior application, see 37 C.F.R. §1.63(d)(2) and  
1.33(b).

5. ☐ CD-ROM or CD-R in duplicate, large table or Computer  
Program (Appendix)

6. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

a. ☐ Computer Readable Form (CRF)

b. Specification or Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); or

ii. ☐ Paper

c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

7. ☐ Assignment Papers (cover sheet & document(s))  
8. ☐ Application Data Sheet. See 37 CFR 1.76  
9. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)  
10. ☐ English Translation Document (if applicable)  
11. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS (3)  
Citations  
12. ☐ Preliminary Amendment  
13. ☒ White Advance Serial No. Postcard  
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)  
15. ☐ Applicant claims small entity status.  
See 37 CFR 1.27  
16. ☒ Other: Notice of Priority, List of Inventors' Names  
and Addresses, Statement of Relevancy

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below.

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application no.:

Prior application information: Examiner:

Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. Amend the specification by inserting before the first line the sentence:

☐ This application is a ☐ Continuation ☐ Division ☐ Continuation-in-part (CIP)  
of application Serial No. Filed on

☐ Which was published in English

☐ Which was not published in English

☐ This application claims priority of provisional application Serial No.

Filed

**19. CORRESPONDENCE ADDRESS**



**22850**

(703) 413-3000

FACSIMILE: (703) 413-2220

|            |                     |                   |        |
|------------|---------------------|-------------------|--------|
| Name:      | Marvin J. Spivak    | Registration No.: | 24,913 |
| Signature: |                     | Date:             | 2/2/01 |
| Name:      | C. Irvin McClelland | Registration No.: |        |

Registration Number 21,124

Docket No. 202689US2XSRD

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTOR(S) Hiroshi SHIRAKAWA, et al.

SERIAL NO: New Application

\*FILING DATE: Herewith

FOR: AUCTION SYSTEM AND METHOD

FEE TRANSMITTAL

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

| FOR  | NUMBER<br>FILED | NUMBER<br>EXTRA | RATE      | CALCULATIONS |
|--|-----------------|-----------------|-----------|--------------|
| TOTAL CLAIMS   | 21 - 20 =       | 1               | × \$18 =  | \$18.00      |
| INDEPENDENT CLAIMS   | 4 - 3 =         | 1               | × \$80 =  | \$80.00      |
| <input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable)   |                 |                 | + \$270 = | \$0.00       |
| <input checked="" type="checkbox"/> LATE FILING OF DECLARATION       |                 |                 | + \$130 = | \$130.00     |
| BASIC FEE  |                 |                 |           | \$710.00     |
| TOTAL OF ABOVE CALCULATIONS  |                 |                 |           | \$938.00     |
| <input type="checkbox"/> REDUCTION BY 50% FOR FILING BY SMALL ENTITY |                 |                 |           | \$0.00       |
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| <input type="checkbox"/> RECORDATION OF ASSIGNMENT                   |                 |                 | + \$40 =  | \$0.00       |
| TOTAL  |                 |                 |           | \$938.00     |

- ☐ Please charge Deposit Account No. 15-0030 in the amount of A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of **\$938.00** to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

  
Marvin J. Spivak

Registration No. 24,913

C. Irvin McClelland  
Registration Number 21,124

Date: 2/2/01



22850

Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 10/00)